

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

*(Only for new nonprovisional applications under
37 CFR 1.53(b))*

Attorney Docket No. 36194/42366

First Inventor Tully et al.

Title System And Method For The Automated Brokerage Of
Financial Instruments

Express Mail No. EV328618216US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Applicant claims small entity status.
See 37 CFR 1.27.
2. Specification [Total Pages 99]
(*preferred arrangement set forth below*)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (*if filed*)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. Drawing(s) (35 U.S.C. 113) [Total Sheets 39]
4. Oath or Declaration [Total Pages 3]
 - a. Newly executed (original or copy)
 - b. Unexecuted
 - c. Copy from a prior application (37 CFR 1.63 (d))
(*for continuation/divisional with Box 17 completed*)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450

5. CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
6. Nucleotide and/or Amino Acid Sequence Submission
(*if applicable, all necessary*)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identify of above copies

17548 U.S. PTO
10/692067

10/22/03

ACCOMPANYING APPLICATION PARTS

7. Assignment Papers (cover sheet & document(s))
8. 37 CFR 3.73(b) Statement Power of Attorney
(*when there is an assignee*)
9. English Translation Document (*if applicable*)
10. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
11. Preliminary Amendment
12. Return Receipt Postcard (MPEP 503)
(*Should be specifically itemized*)
13. Certified Copy of Priority Document(s)
(*if foreign priority is claimed*)
14. Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
15. Certificate of Express Mail
16. Other: _____

17. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)

of prior application No. /

Prior application information: Examiner _____

Group Art Unit: _____

For **CONTINUATION OR DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label

or

Correspondence address below

Name	Benjamin L. Volk, Jr.			Registration No. (Attorney/Agent)	#48,017
Address	Thompson Coburn LLP One US Bank Plaza, Suite 3500				
City	St. Louis	State	MO	Zip Code	63101-9928
Country	U.S.A.	Telephone	314-552-6000	Fax	314-552-7000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: ASSISTANT COMMISSIONER for Patents, Box Patent Application, P.O. Box 1450, Alexandria, VA 22313-1450

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT APPLICATION FEE DETERMINATION RECORD

Application or Docket Number

36194/42366

CLAIMS AS FILED – PART I			SMALL ENTITY		OR	OTHER THAN SMALL ENTITY	
	(Column 1)	(Column 2)	RATE	Fee		RATE	
FOR	NUMBER FILED	NUMBER EXTRA					
BASIC FEE (37 CFR 1.16(a))							770.00
TOTAL CLAIMS (37 CFR 1.16(c))	90 minus 20 =	70	x \$	= 0.00	OR x \$18.00	= 1,260.00	
INDEPENDENT CLAIMS (37 CFR 1.16(b))	11 minus 3 =	8	x \$	= 0.00	OR x \$86.00	= 688.00	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))			+\$	=	OR + \$	=	
* If the difference in column 1 is less than zero, enter "0" in column 2			TOTAL	0.00	OR	TOTAL	2,718.00

A check in the amount of \$2,718.00 is attached.

The Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.

Charge the amount of \$

Credit any overpayment.

Charge any additional fee required.



Signature

Dated: October 22, 2003

Benjamin L. Volk, Jr., Reg. No. 48,017
 Thompson Coburn LLP
 One US Bank Plaza, Suite 3500
 St. Louis, Missouri 63101-9928
 314-552-6000
 FAX 314-552-7000



21888

PATENT TRADEMARK OFFICE

I certify that the document and fee is being deposited on October 22, 2003, with the U.S. Postal Service as Express Mail under 37 C.F.R. 1.10 and is addressed to MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail No. EV328618216US



Signature of Person Mailing Correspondence

Benjamin L. Volk, Jr.

Typed or Printed Name of Person Mailing Correspondence